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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>0001/PTO</b> Rev. 10/95  <b>TRANSMITTAL FORM</b>  <i>(to be used for all correspondence during pendency of filed application)</i>	U.S. Department of Commerce Patent and Trademark Office		Application Number	10/052,016
			Filing Date	01/16/2002
			First Named Inventor	Albert K. Chin
			Group Art Unit Number	1636
			Examiner Name	Not Yet Known
Total Number of Pages in This Submission		5*	Attorney Docket Number	80121-06566

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**ENCLOSURES (check all that apply)**

- ☐ Fee Transmittal Form (in duplicate)
  - ☐ Check Enclosed
- ☒ Return Receipt Postcard
- ☐ Response to Notice to File Missing Parts
- ☐ Assignment & Recordation Cover Sheet
- ☐ Declaration
- ☐ Power of Attorney
- ☐ Application Data Sheet
- ☒ Supplemental Information Disclosure Statement & PTO-1449
  - ☒ Copies of IDS Cited References
- ☐ Request for Corrected Filing Receipt
- ☐ Request for Correction of Recorded Assignment
- ☐ Amendment/Response: [ ] Page(s)
  - ☐ After Final
- ☐ Status Request
- ☐ Revocation and Substitute Power of Attorney

- ☐ Issue Fee Transmittal
- ☐ Letter to Chief Draftsperson
- ☐ Formal Drawing(s):
  - [ ] Sheet(s) of Figure(s) [ ]
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)
- ☐ Certified Copy of Priority Document(s)
- ☐ After Allowance Communication to Group
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REMARKS:

**SIGNATURE OF ATTORNEY OR AGENT**

Signature:	<i>Albert C. Smith</i>		
Attorney/Reg. No.:	Albert C. Smith, Reg. No. 20,355	Dated:	4/18/02

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

Signature:	<i>Albert C. Smith</i>		
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## THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Albert K. Chin, et al.  
APPLICATION NO.: 10/052,016  
FILING DATE: 01/16/2002  
TITLE: Device And Method For Remote Vessel Ligation  
EXAMINER: Not Yet Known  
GROUP ART UNIT: 1636  
ATTY. DKT. NO.: 80121-06566

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By: A.C. Smith  
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## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;

- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a

foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant request that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. [APPLICATION NUMBER], filed on [FILING DATE], and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
ALBERT K. CHIN, ET AL.

Dated: 4/18/02

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